

The NOvA Collaboration Bylaws

Revision 2.4

May 12, 2005

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Article 1. Institutional Board

The Institutional Board (IB) controls the institutional aspects and the overall framework of the NOvA Collaboration, including issues of Collaboration membership.

The IB is the keeper of the Collaboration Bylaws. It ratifies the initial Bylaws and organizational structure and approves or rejects proposed amendments, as described in Article 9. Modification of the Bylaws, organization or governance of the Collaboration requires a majority vote of the IB members present at a scheduled meeting.

IB approval is required for all membership issues, including the admission of new institutions, as described in Article 4. The IB also decides the disposition of special cases concerning the membership qualifications of any individual, including situations where potential conflicts of interest may exist.

The IB may establish standing and Ad Hoc committees as necessary to perform its functions.

IB Institutional Representation

In the formative stage of the Collaboration, it is recognized that many institutions are just ramping up their activity level on NOvA. In this initial era, each institution is represented by one IB member. Eventually, IB representation may be based on the institution's level of effort in NOvA-related activities. Such a change requires amendment of these Bylaws.

IB Membership

Each collaborating institution shall designate its official representative to the IB. Representatives should attend meetings of the IB, act as email contacts for the institution, and inform the Collaboration of any changes in personnel at their institutions. An IB member may designate another collaborator from the same institution to act as that institution's representative at any IB meeting.

IB Chair

The IB Chair is responsible for producing and distributing the agendas of IB Meetings in advance of the meetings. The Chair is responsible for the production and publication of

minutes of the IB Meetings. Either or both of these roles can be delegated to a Secretary of the IB, who is chosen informally by the Chair to serve during his or her term.

Election of IB Chair

At the IB meeting closest to January 1 in even numbered years, the Chair of the IB is elected from the IB membership to serve a two-year term. IB members nominate Chair candidates verbally and then vote by secret ballot. The candidate with the most votes becomes the IB Chair at the end of the meeting. In case of a tie, a runoff election is held. In case of a tie in the final runoff, the Chair will recuse him/herself from the vote to resolve the tie, but otherwise is eligible to vote in the election.

IB Meetings

The IB meets regularly at every NOvA Collaboration meeting. Extraordinary meetings of the IB may be held by telephone on the initiative of the IB Chair or at the request of three IB representatives. IB votes require a majority of those present for passage, unless otherwise specified in these Bylaws.

Article 2. Co-Spokespersons

The scientific leadership of the NOvA Collaboration consists of two equal Co-Spokespersons, elected to interleaved two-year terms. The Co-Spokespersons participate actively in the management of all aspects of the experiment and ensure that adequate discussions occur at all levels concerning major policies and decisions. The Co-Spokespersons are expected to solicit advice from the Collaboration at large and from the Executive Committee on physics, technical, management and leadership issues.

The Co-Spokespersons are responsible for the creation and modification of management structures and for appointments to the leadership positions in physics, technical and management areas.

The Co-Spokespersons may establish standing and Ad Hoc committees as necessary.

The Co-Spokespersons maintain the NOvA Organization Document, which is a summary of Collaboration committees and working groups and their interrelationships.

Election of a Co-Spokesperson

The elections to Co-Spokesperson are timed such that a slate of nominees can be presented at the IB meeting closest to January 1 each year. Prior to the election, qualified electors (Article 8) are asked to nominate individuals to the IB Chair. Each elector may nominate one candidate per vacant position. A minimum of two nominations is required for a nominee to be eligible to appear on the slate of election candidates. After a nomination period, the IB Chair will consult with the nominees to ascertain their willingness to stand for the election.

If no candidate agrees to stand for election, the terminating Co-Spokesperson will continue to serve for six months, after which a special election will be held. The term of the individual elected in a special election will be reduced by the amount needed to cause the sum of his/her term and the additional months served by the terminating Co-

Spokesperson to equal two years. If only one candidate has agreed to serve, the Collaboration will vote to accept or reject his/her election.

The election is held by email, submitted to the IB Chair by qualified electors. The IB Chair determines the detailed timing of the balloting. Each qualified elector votes for a single candidate for each vacant position. The IB Chair checks the ballots against the list of qualified voters and tallies the votes. If no candidate receives a majority of the votes cast, a runoff election will be held between the two candidates with the most votes. The elected candidate will take office when the IB Chair announces the results of the election to the Collaboration by email. The IB Chair will determine procedures for dealing with any election situations not anticipated in these Bylaws.

Removal of a Co-Spokesperson

The IB can remove a Co-Spokesperson by a secret ballot, requiring approval by at least three quarters of those present and voting at a regularly scheduled IB meeting (an abstention is not a vote for this purpose). A two-week notice is required for a vote for removal and such a vote will be taken if at least 5 IB members support such a proposal to the Chair. In the event of a removal, the open position(s) will be filled following the procedures in these Bylaws.

Article 3. Executive Committee

The Executive committee (EC) advises the Co-Spokespersons on scientific, financial, and organizational policy of the Collaboration. The EC also establishes procedures for making technical choices (e.g., creating technical panels).

The EC is responsible for developing a publications policy and for appointing a Publications Board to approve papers and physics results for publication. The EC is also responsible for appointing a Speakers' Bureau to organize Collaboration presentations at conferences and workshops and to determine who will represent the Collaboration at such meetings.

The EC may establish standing and Ad Hoc committees as necessary to perform its functions.

The EC will meet of order once per month and more frequently if the need arises. The Co-Spokespersons are responsible for producing minutes or summaries of EC meetings, which will be made available to the NOvA membership.

EC Membership

The EC consists of nine elected members and five ex-officio members: the two Co-Spokespersons, the IB Chair, the NOvA Project Manager and the NOvA Deputy Project Manager. Four members of the EC are elected each year, by email ballot, for a two-year term. In addition, one "young member" is elected to a two-year term every other year, in a special election held at the same time as the Co-Spokesperson election. A "young member" is a graduate student or a postdoc who has received his or her Ph.D. within the past seven years. The longest serving Co-Spokesperson serves as the EC Chair. [Note: A transition from seven to nine elected EC members will be made in 2006 and 2007, when

four EC members, in addition to the young member, will be elected to replace the three retiring members in each year's EC election.]

If a member of the EC resigns or becomes unable to fulfill his or her duties, there will be a special election to fill the vacancy. If a newly elected Co-Spokesperson is a current EC member, an election for a new Executive Committee member will be held immediately following the election of the Co-Spokesperson to fill the remaining EC term of the new Co-Spokesperson.

Election of EC Members

The elections to the EC are timed such that a slate of nominees can be presented at the IB meeting closest to March 1 each year. Qualified electors (see Article 8) submit nominations to the IB Chair prior to the election. Each collaborator may nominate one candidate per vacant position. After a nomination period, the IB Chair will consult with the nominees to ascertain their willingness to stand for the election. Candidates with the most nominations are listed on the ballot, until the number of candidates equals two times the number of EC vacancies. The number of candidates on the ballot may exceed two times the number of vacancies in the event that several candidates are tied with the minimum number of votes needed to meet the "two-times" criterion.

The election is held by email, submitted to the IB Chair by qualified electors. The IB Chair determines the detailed timing of the balloting. Each qualified elector votes for as many candidates as there are vacant positions. The IB Chair checks the ballots against the list of qualified voters and tallies the votes. The candidates with the highest numbers of votes are elected to fill all vacant positions. A runoff election is held in the event of a tie. The elected candidates will take office when the IB Chair announces the results of the election to the Collaboration by email. The IB Chair will determine procedures for dealing with any election situations not anticipated in these Bylaws.

Nominations and election for the "young member" position on the EC are held at the same times as nominations and election for Co-Spokesperson, as described in Article 2. Qualified electors (Article 8) are asked to nominate individuals to the IB Chair. Each elector may nominate one candidate. A minimum of two nominations is required for a nominee to be eligible to appear on the slate of election candidates. After a nomination period, the IB Chair will consult with the nominees to ascertain their willingness to stand for the election. The election is held by email, submitted to the IB Chair by qualified electors. Each qualified elector votes for a single candidate. The IB Chair checks the ballots against the list of qualified voters and tallies the votes. If no candidate receives a majority of the votes cast, a runoff election will be held between the two candidates with the most votes. The elected candidate will take office when the IB Chair announces the results of the election to the Collaboration by email. The IB Chair will determine procedures for dealing with any election situations not anticipated in these Bylaws.

The IB may remove any EC member by the same procedures described in Article 2 for removal of a Co-Spokesperson.

Article 4. Admitting New Institutions to NOvA

To apply for membership in the NOvA Collaboration, representatives from a prospective new collaborating institution should first confer with the Co-Spokespersons. The representatives can then submit a written proposal to the IB Chair, at least two weeks prior to the meeting of the IB at a regularly scheduled Collaboration meeting. The IB Chair circulates the proposal to IB members prior to the meeting and puts consideration of the application on the meeting agenda. The proposal should describe the contributions that the prospective institution proposes to make to the experiment and should include a list of the proposed senior members from the institution.

The Co-Spokespersons will schedule a presentation of the proposal to the Collaboration by the prospective institution. This presentation should occur prior to the IB meeting held during the same Collaboration meeting. The IB may:

- (1) Approve the proposal and formally admit the institution to the Collaboration at that meeting,
- (2) Request further written clarifications to be considered at the next Collaboration meeting, or
- (3) Reject the proposal.

The IB will attempt to make decisions on admission of new institutions by consensus. If consensus is not possible, a vote by secret ballot will be taken on admission. Admission will require a favorable vote of at least three-quarters of the IB members present and voting (an abstention is not a vote for this purpose).

Article 5. Removal of Institutions from NOvA

The IB Chair should annually identify inactive institutions, using the criterion that active institutions must have performed a reasonable amount of work on NOvA within the previous twelve months. The Chair submits the list of inactive institutions to the IB for approval. The Chair then writes to institutions on the approved list, inquiring whether they intend to work on NOvA in the future, and asking them to describe their plans for such work. Based on the response to these letters, the IB may remove institutions which they find to be inactive from the Collaboration.

Article 6. NOvA Collaboration Membership

Ph.D. scientists, engineers, Ph.D. thesis students and others who contribute significantly to the experiment are eligible to be members of the Collaboration. A rough guideline is that all collaborators should devote a substantial fraction of their research time to the NOvA program over a period of several years.

A senior member of the Collaboration is a member from a collaborating institution who has a permanent appointment or an appointment that under normal circumstances can be expected to be renewed indefinitely. All other members of the Collaboration are regular members. Senior members are admitted to the Collaboration individually. Regular members are selected by their institutions. The only distinction between senior and regular members is the method by which they are admitted to the Collaboration, as provided by this Article.

Senior members are admitted to the Collaboration in one of four ways:

- (1) by being on the qualified elector list (see Article 8) at the time of the initial Co-Spokesperson election,
- (2) by being on the approved list of senior members when their institution was admitted to the Collaboration (see Article 4),
- (3) by being a regular member of the Collaboration and receiving a position at any collaborating institution that would qualify him or her for senior membership status, and
- (4) by individual application.

A senior physicist at a collaborating institution who is not a member of the Collaboration and who wishes to join the Collaboration, applies for membership in the same way as a new institution, as provided in Article 4, except that a presentation at a Collaboration meeting is not necessary and that the IB may act on the application at the same meeting that the application is received.

The Membership List is different from the "author" list described in Article 7.

Updating NOvA Membership Roles

Each NOvA IB member will be responsible for updating/verifying the NOvA Collaboration membership list for his/her institution. A yearly questionnaire will be distributed by the IB Chair to each institution to help keep track of all members and their status.

Leaving a Collaborating Institution

Individuals maintain their membership in the Collaboration automatically for one year after they leave any collaborating institution. They can maintain a longer-term association with NOvA by being "adopted" by a collaborating institution, with this process being approved by the IB on a case-by-case basis.

Article 7. Guidelines for Authorship in the NOvA Collaboration

"Author List" represents a default group of people who are to be included in all papers for publication. The EC will establish the criteria for NOvA authorship at an appropriate time, well in advance of the first publications.

Article 8. Selection of Qualified Electors

Qualified electors for Collaboration-wide elections of Co-Spokespersons and EC members will be selected by each collaborating institution. IB representatives will update their lists of qualified electors at least once each year, by submission to the IB Chair. Qualified electors must have been Collaboration members for at least one year (Article 6) and must have made intellectual contributions to the experiment. The deadline for submission of the qualified electors list for a given election will be two weeks before nominations begin, but institutions may update their lists at any time. Institutions that have not updated their lists within the one-year period prior to the deadline will be ineligible to vote.

Article 9. Amending the NOvA Bylaws

These Bylaws may be amended by the IB. A new bylaw or an amendment may be presented to the IB at one of its regularly scheduled meetings for consideration.

Amendments may be introduced by any IB member or by a Co-Spokesperson. Proposed amendments will be distributed by email to the entire Collaboration for their comments following this meeting. The IB will then consider the amendment for adoption at the next scheduled IB meeting. Approval of an amendment requires a majority vote of the IB members present.